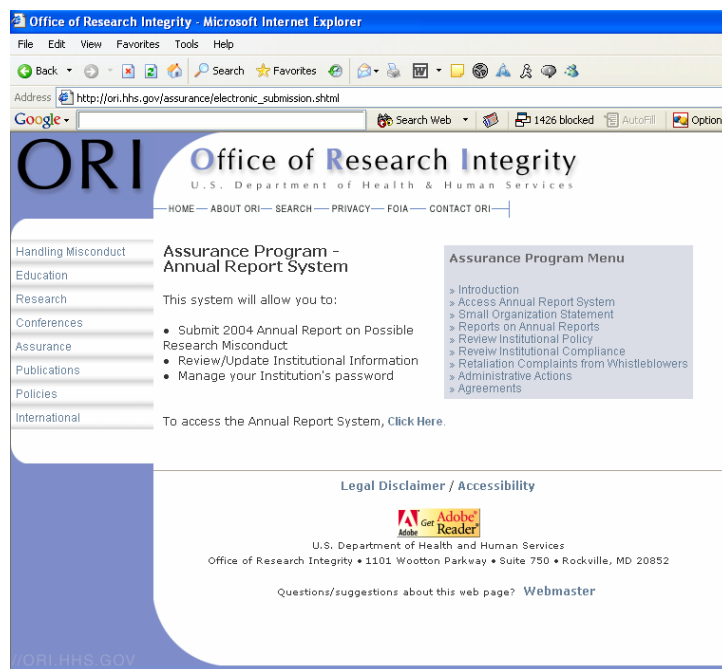


How to Navigate the ORI Annual Report System Handbook



URL: http://ori.hhs.gov/assurance/electronic_submission.shtml

Please contact me if you have any problems.

Thank you for your cooperation.

Randi M. Freedman
Assurance Program Manager
Office of Research Integrity,
Division of Education and Integrity
1101 Wootton Parkway, Suite 750
Rockville, MD 20852
Phone: (301) 443-0398
FAX: (301) 594-0042

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Part 1 ➔ Logging into the Annual Report System

Step 1: From the Assurance Program - Annual Report System homepage (Figure 1) select "To access the Annual Report System, **Click here.**"

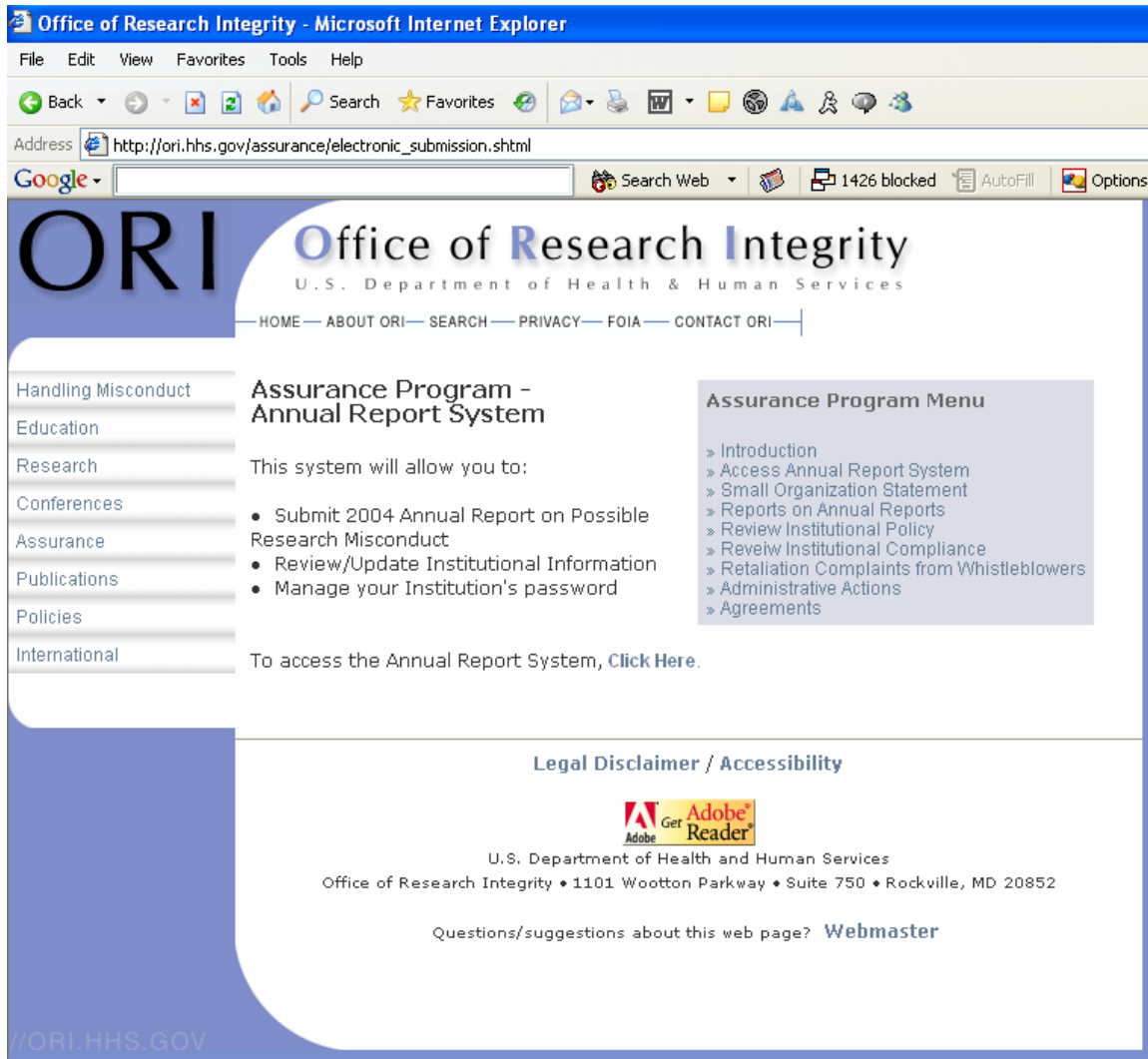


Figure 1

Result: Assurance Program – Annual Report System login screen appears (Figure 2)

Step 2: Enter your institution's User ID (Institutional Profile Number, i.e. IPF number)

NOTE: If this is **NOT** your first time logging into the new Annual Report system, and you have forgotten your User ID and/or password go to **PAGE 29** of this handbook.

Step 3: Enter your institution's Password (IPF Number).

NOTE: You will be prompted to change your password the first time you log into the system.

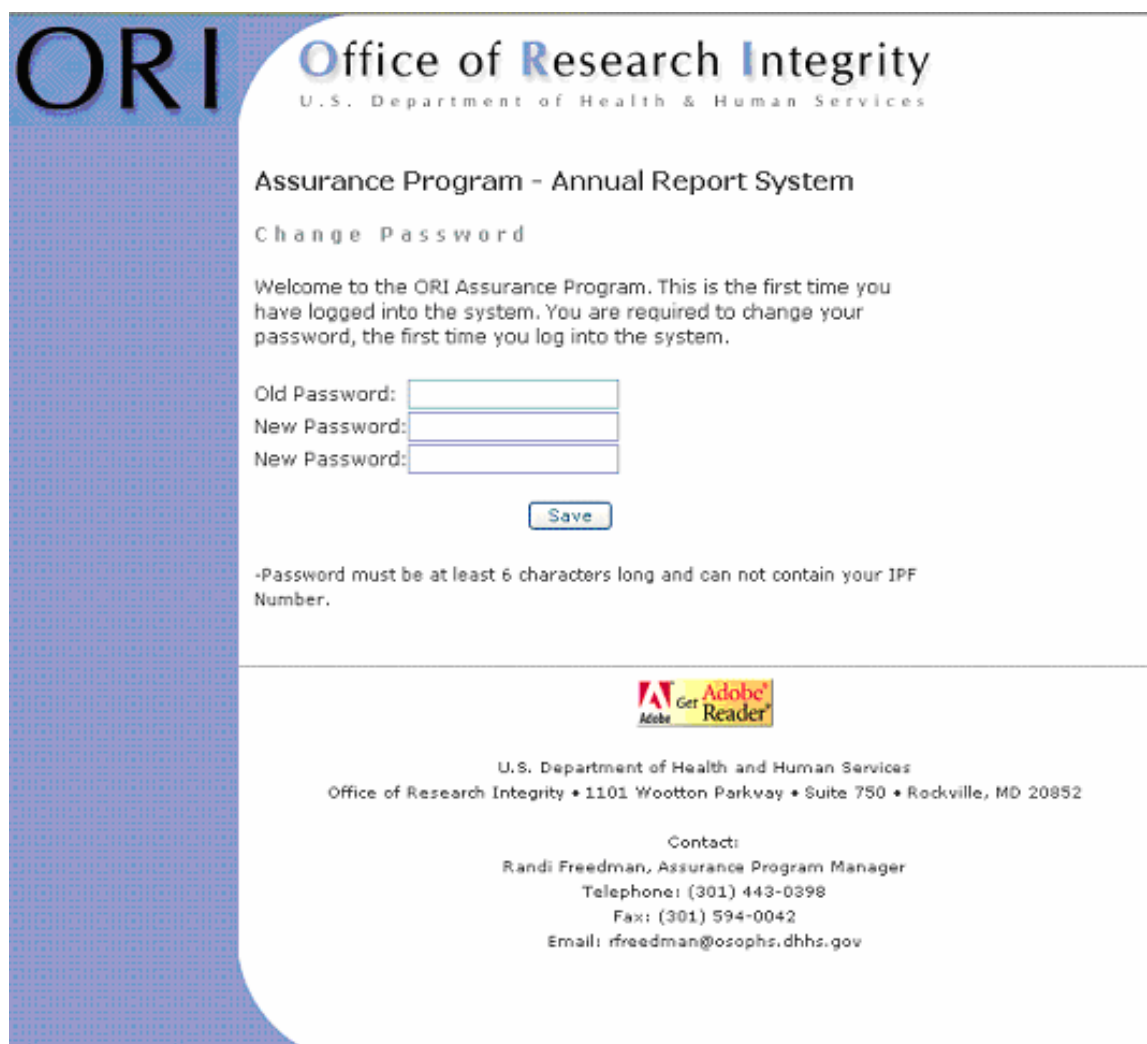
The screenshot shows the login page for the ORI Assurance Program - Annual Report System. The header features the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". A navigation bar includes links for HOME, ABOUT ORI, SEARCH, PRIVACY, FOIA, and CONTACT ORI. The main heading is "Assurance Program - Annual Report System", followed by a link to the "How to Navigate the ORI Annual Report System Handbook -- PDF". The login section contains fields for "User ID:" and "Password:", a "Login" button, and a link for "Forgot your User ID or Password? +Click here to get your User ID and Password". A red message states: "All passwords have been reset to your institution's IPF number. Your institution's IPF number will be used as the password when logging into the system for the first time." Below this is a link to "Return to the Assurance Program page". The footer includes the Adobe Reader logo, the address "U.S. Department of Health and Human Services, Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852", and contact information for Randi Freedman, Assurance Program Manager, including telephone, fax, and email.

Figure 2

Result: Assurance Program – Annual Report System Password Change screen appears (Figure 3).

If this is the first time logging into the new system, you are required to change your password. You will **not** see this screen again the next time you log into the system.

Step 4: Enter a new password. Password must be at least six characters long and can NOT contain your institution's IPF number. Retype your new password to ensure correctness. Select "Save."



The screenshot shows the 'ORI Office of Research Integrity' logo at the top left, with the text 'U.S. Department of Health & Human Services' below it. The main heading is 'Assurance Program - Annual Report System' followed by 'Change Password'. A welcome message states: 'Welcome to the ORI Assurance Program. This is the first time you have logged into the system. You are required to change your password, the first time you log into the system.' Below this are three input fields: 'Old Password:', 'New Password:', and 'New Password:'. A 'Save' button is positioned below the second 'New Password' field. A note at the bottom of the form area reads: '-Password must be at least 6 characters long and can not contain your IPF Number.' The footer contains the Adobe Reader logo, the address 'U.S. Department of Health and Human Services, Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852', and contact information for Randi Freedman, Assurance Program Manager, including telephone, fax, and email addresses.

Figure 3

Result: Password has been changed notification screen appears (Figure 4).

Step 5: Select "Click here to return to the Annual Report System Home Page."

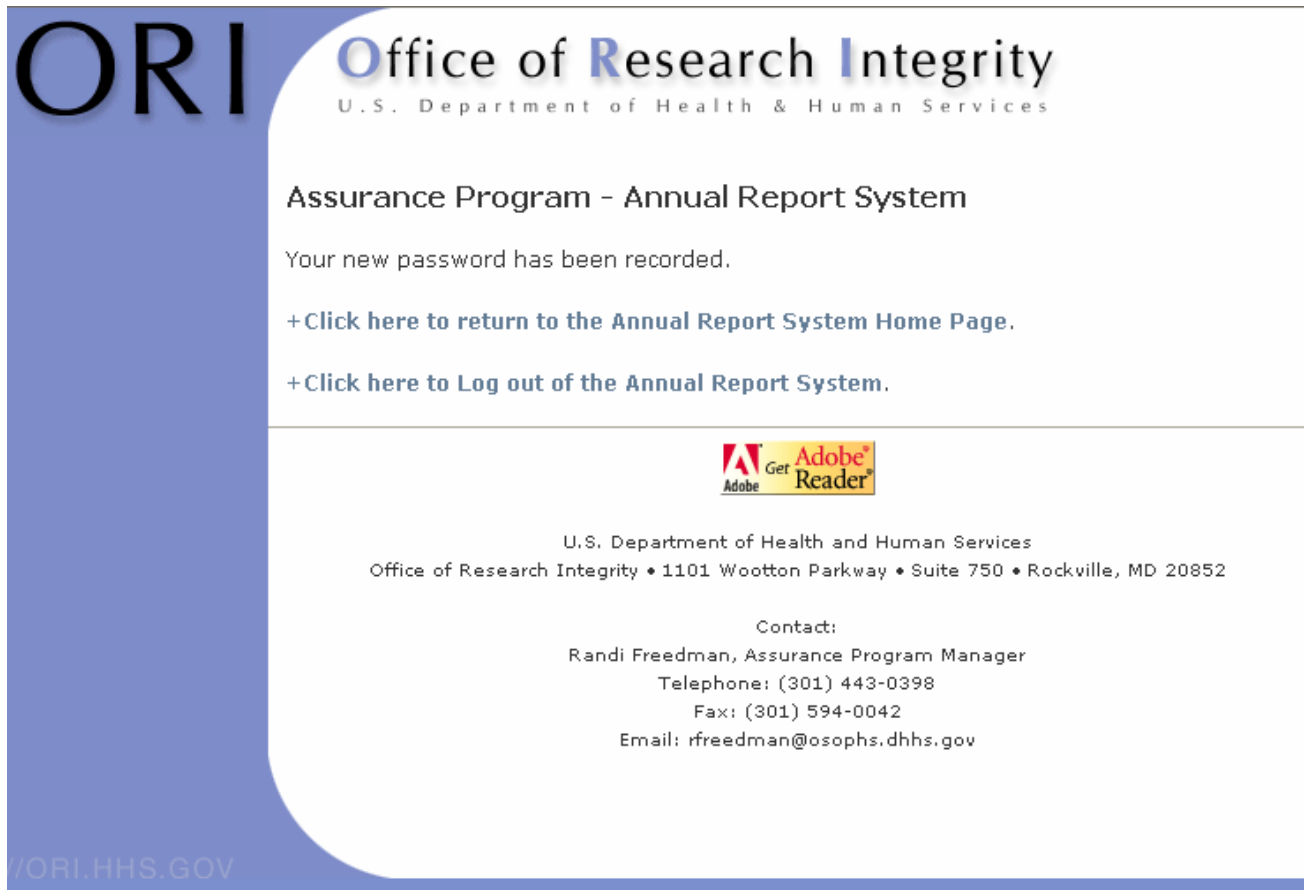


Figure 4

Result: Assurance Program - Annual Report System Home Page (Figure 5).

NOTE: The following four options are available on the home page. (*This handbook will help you navigate through these four options*):

- + Review/Update Institutional Information Section
- + Submit 2004 Annual Report on Possible Research Misconduct Report
- + Manage Password
- + Log out of the Assurance Program website

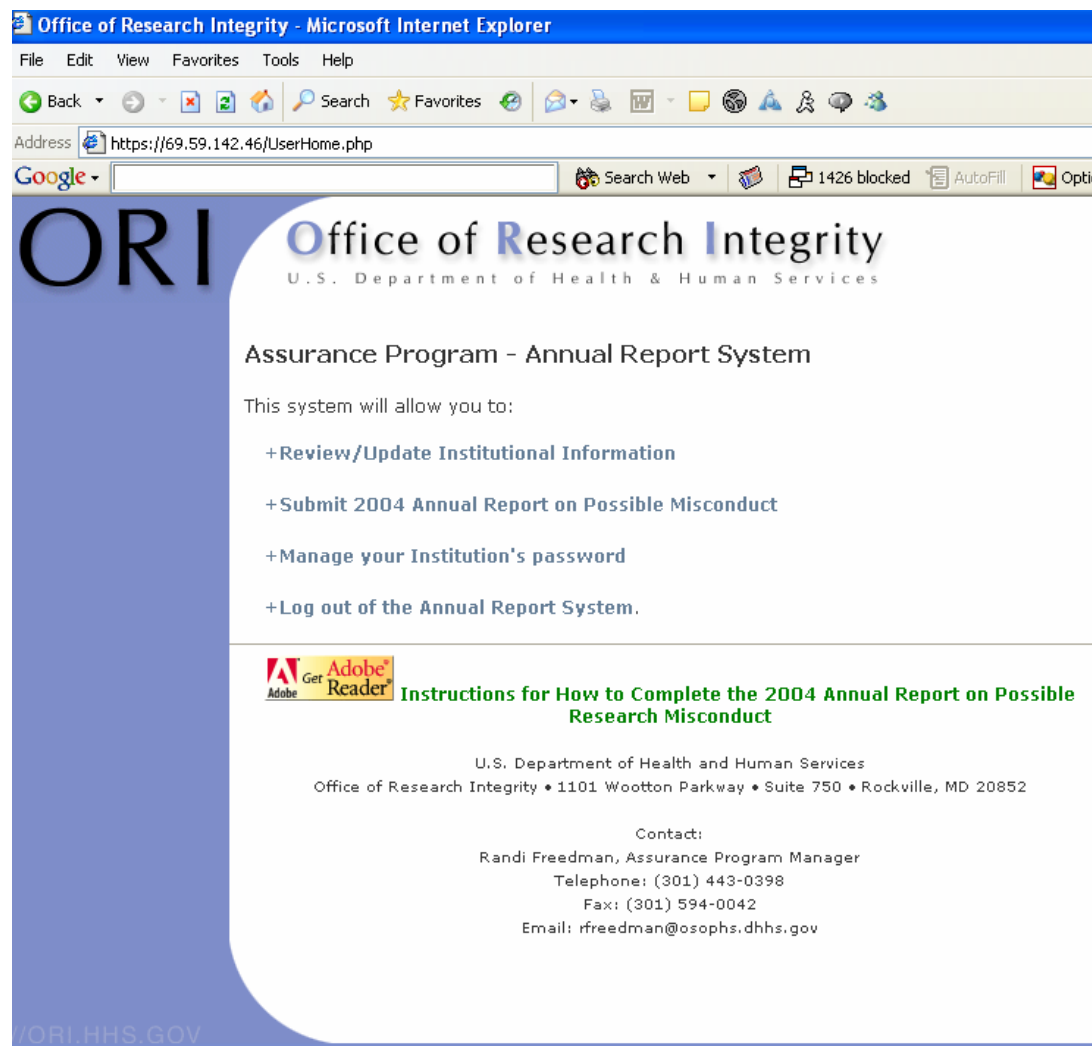


Figure 5

Part 2 ✦ Review/Update Institutional Information

Step 1: From the Assurance Program Home Page (Figure 6) select "Review/Update Institutional Information Section."

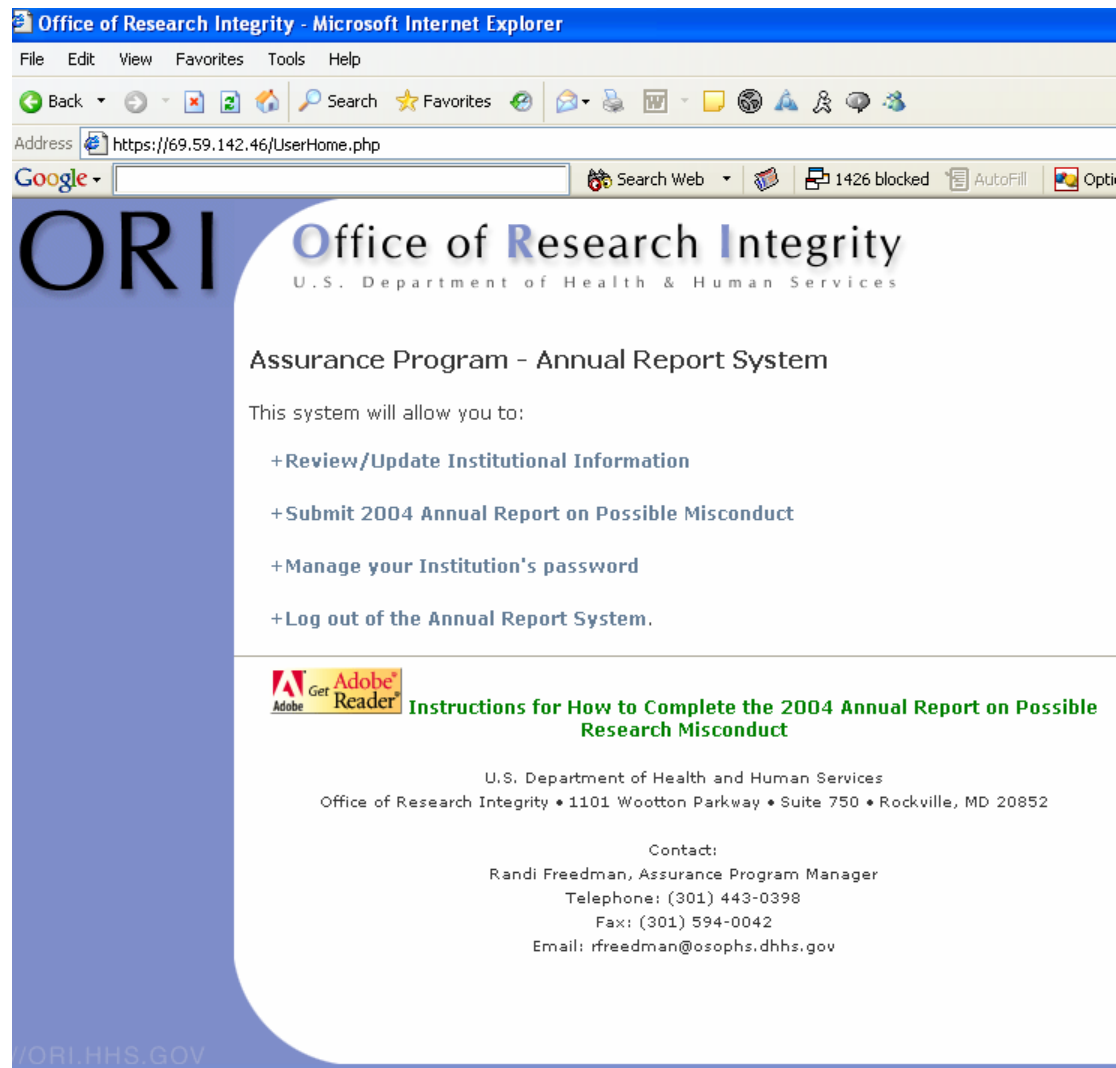


Figure 6

Result: Institutional Information screen (Figure 7)

This screen allows the user to make any changes to their institution's information.

Step 2: If there are no changes to your institution's information select "Approve."

NOTE: If you need to make changes to your institution's information go to **PAGE 11** of this handbook.

The screenshot shows a Microsoft Internet Explorer browser window displaying the 'Office of Research Integrity - Microsoft Internet Explorer' title bar. The address bar shows the URL 'https://69.59.142.46/UserInstitutionInfo.php'. The page content includes the ORI logo and the text 'Office of Research Integrity U.S. Department of Health & Human Services'. The main heading is 'ORI Assurance Program', followed by the section 'Institutional Information'. The form displays the following information: IPF: 1234567, Institution Name: ABC Institution, Address: 1234 Main Street, City: City, State: MD, Zip: 20852, Country: USA, Official Name: Ms. Official, Official Title: CEO, Official Phone: 555-555-5555, Official Extension: 100, Official Fax: 555-555-5555, Official Email 1: rfreedman@osophs.dhhs.gov, Official Email 2: (blank), and Last Updated: December 9, 2004 8:04:36 PM. At the bottom of the form are three buttons: 'Back', 'Approve', and 'Edit'. The footer of the page contains the U.S. Department of Health and Human Services address, contact information for Randi Freedman, Assurance Program Manager, including telephone, fax, and email.

Office of Research Integrity - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites

Address <https://69.59.142.46/UserInstitutionInfo.php>

Google Search Web 1391 blocked AutoFill Options

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

ORI Assurance Program

Institutional Information

IPF: 1234567
Institution Name: ABC Institution
Address: 1234 Main Street

City: City
State: MD
Zip: 20852
Country: USA
Official Name: Ms. Official
Official Title: CEO
Official Phone: 555-555-5555
Official Extension: 100
Official Fax: 555-555-5555
Official Email 1: rfreedman@osophs.dhhs.gov
Official Email 2:
Last Updated: December 9, 2004 8:04:36 PM

[Back](#) [Approve](#) [Edit](#)

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 7

Step 3: Select the appropriate option.



To make changes to your institution's information

Step 1: Select "Edit."

Office of Research Integrity - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Print Mail News RSS Feeds

Address <https://69.59.142.46/UserInstitutionInfo.php>

Google Search Web 1426 blocked AutoFill Opti

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Institutional Information

IPF: 12345678
Institution Name: ABC Institution
Address: 1234 Main Street

City: Rockville
State: MD
Zip: 20852
Country: USA
Official Name: Randi Freedman
Official Title: CEO
Official Phone: 555-555-5555
Official Extension:
Official Fax: 555-555-5555
Official Email 1: rfreedman@osophs.dhhs.gov
Official Email 2:
Last Updated: January 3, 2005 2:44:31 PM

[Back](#) [Approve](#) [Edit](#)

Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 9

Step 2: Make any necessary changes to your institution's record on this screen (Figure 10) and select "Submit" to save the updated information.

The screenshot shows a web browser window titled "Office of Research Integrity - Microsoft Internet Explorer". The address bar displays "https://69.59.142.46/UserEditInstitutionInfo.php". The page header includes the ORI logo and the text "Office of Research Integrity U.S. Department of Health & Human Services". The main heading is "ORI Assurance Program", followed by the subheading "Edit Institutional Information". The form contains the following fields and values:

IPF:	1234567
Institution Name:	ABC Institution
Address:	1234 Main Street
City:	City
State:	MD
Zip:	20852
Country:	USA
Official Name:	Ms. Official
Official Title:	CEO
Official Phone:	555-555-5555
Official Extension:	100
Official Fax:	555-555-5555
Official Email 1:	rfreedman@osophs.dhhs.gov
Official Email 2:	
Last Updated:	December 9, 2004 8:04:36 PM

At the bottom of the form are three buttons: "Back", "Submit", and "Cancel".

Figure 10

Result: Figure 11

NOTE: An email will be sent to the address on file stating that once your changes have been verified by ORI you will be informed by email.

Step 3: Choose one of the following Options:

- + Click here to return to the Assurance Program Home Page.
- + Click here to log out of the Assurance Program.

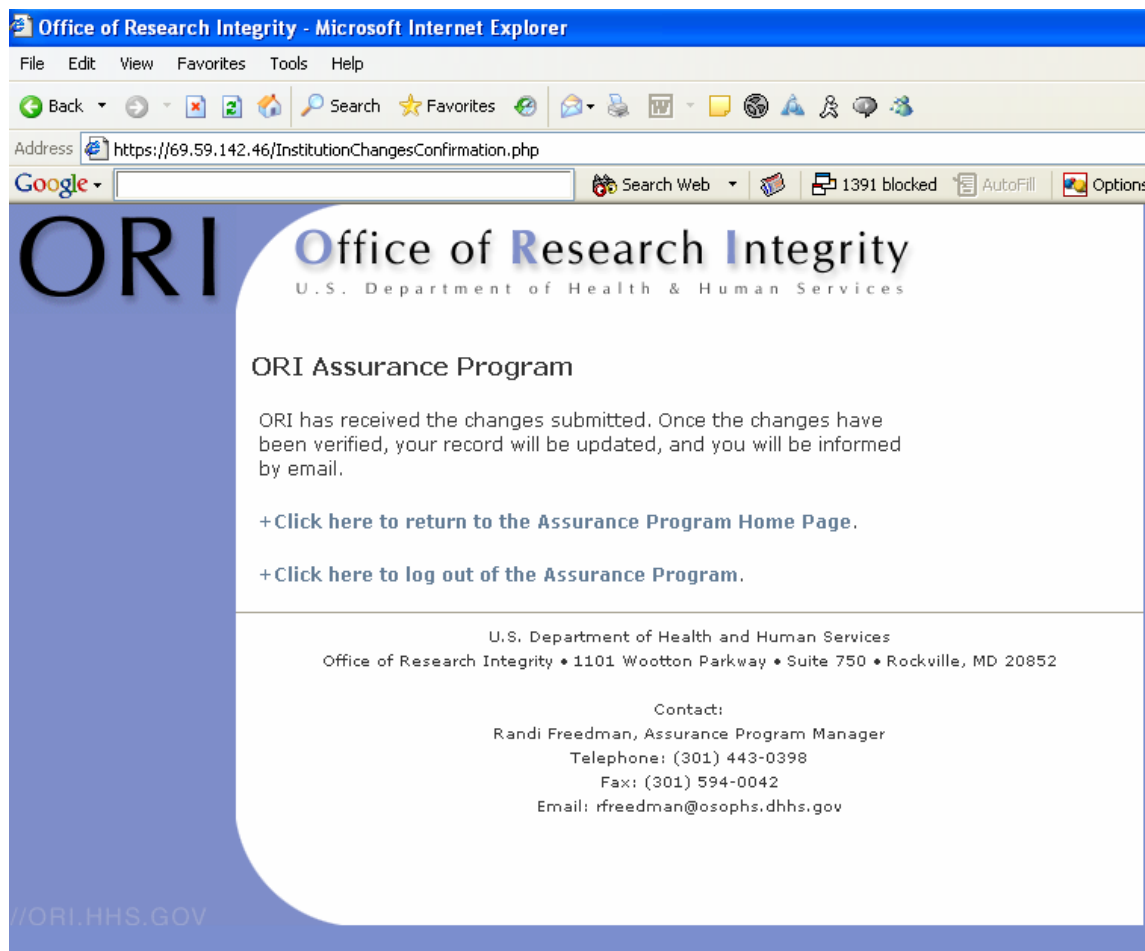


Figure 11

Example of an Email received after making changes to an Institution's information (Figure 12).

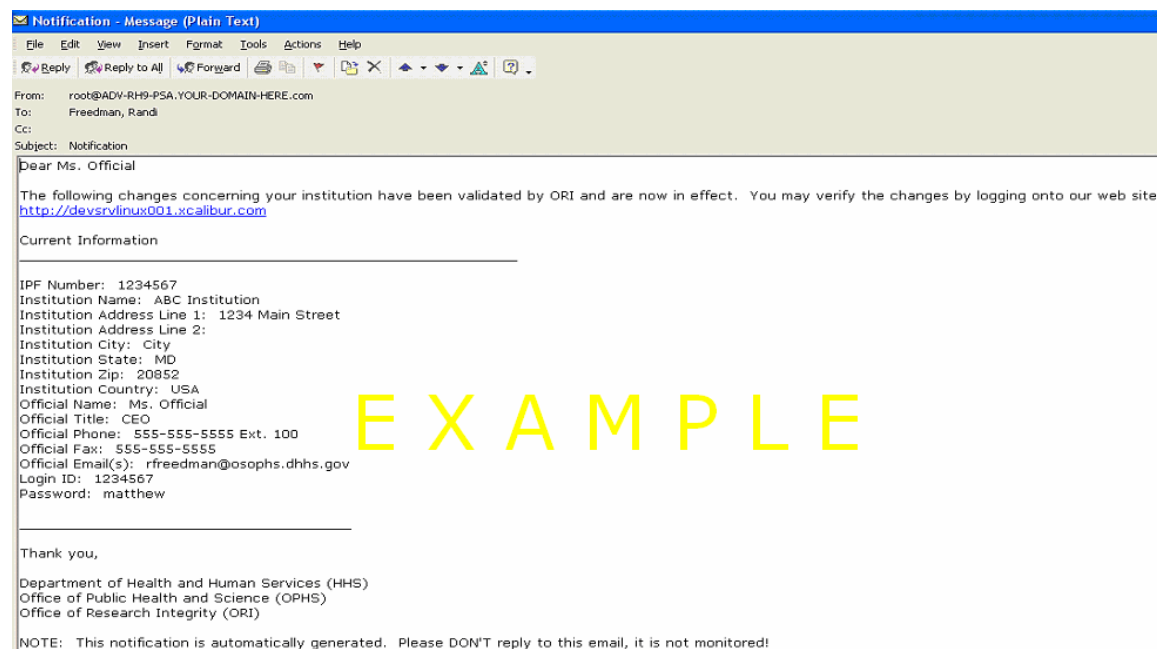


Figure 12

Part 3 ✦ Submitting the 2004 Annual Report

This section allows you to complete your Institution's 2004 Annual Report on Possible Research Misconduct.

Step 1: Select the "Submit 2004 Annual Report on Possible Misconduct" link.

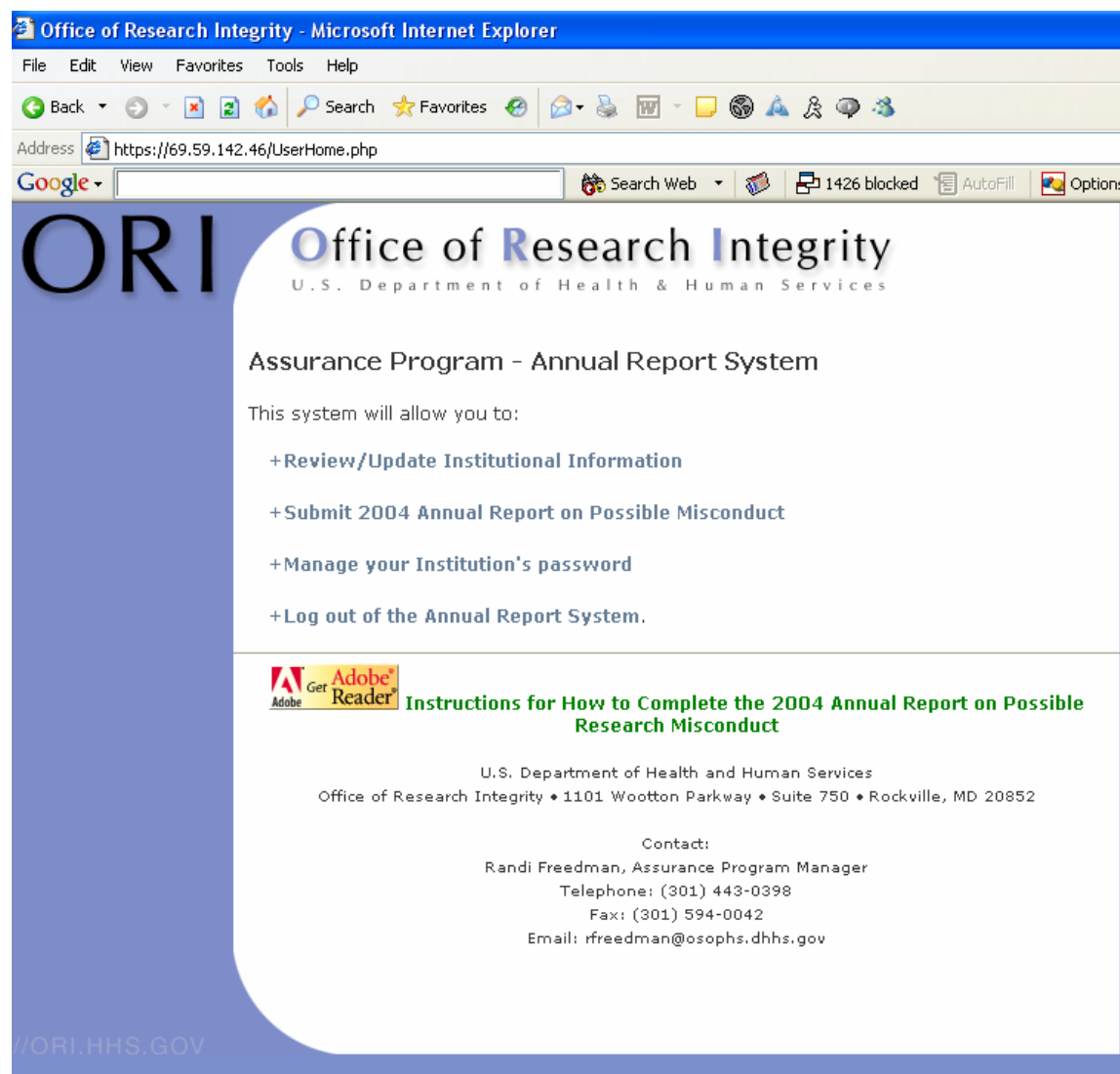


Figure 13

Step 2: To submit the current year's (2004) Annual Report on Possible Research Misconduct select "Add."

NOTE: If this is your first year filing an Annual Report a message will appear on the screen indicating ORI does not have a current or previous year's Annual Report for your Institution on record.

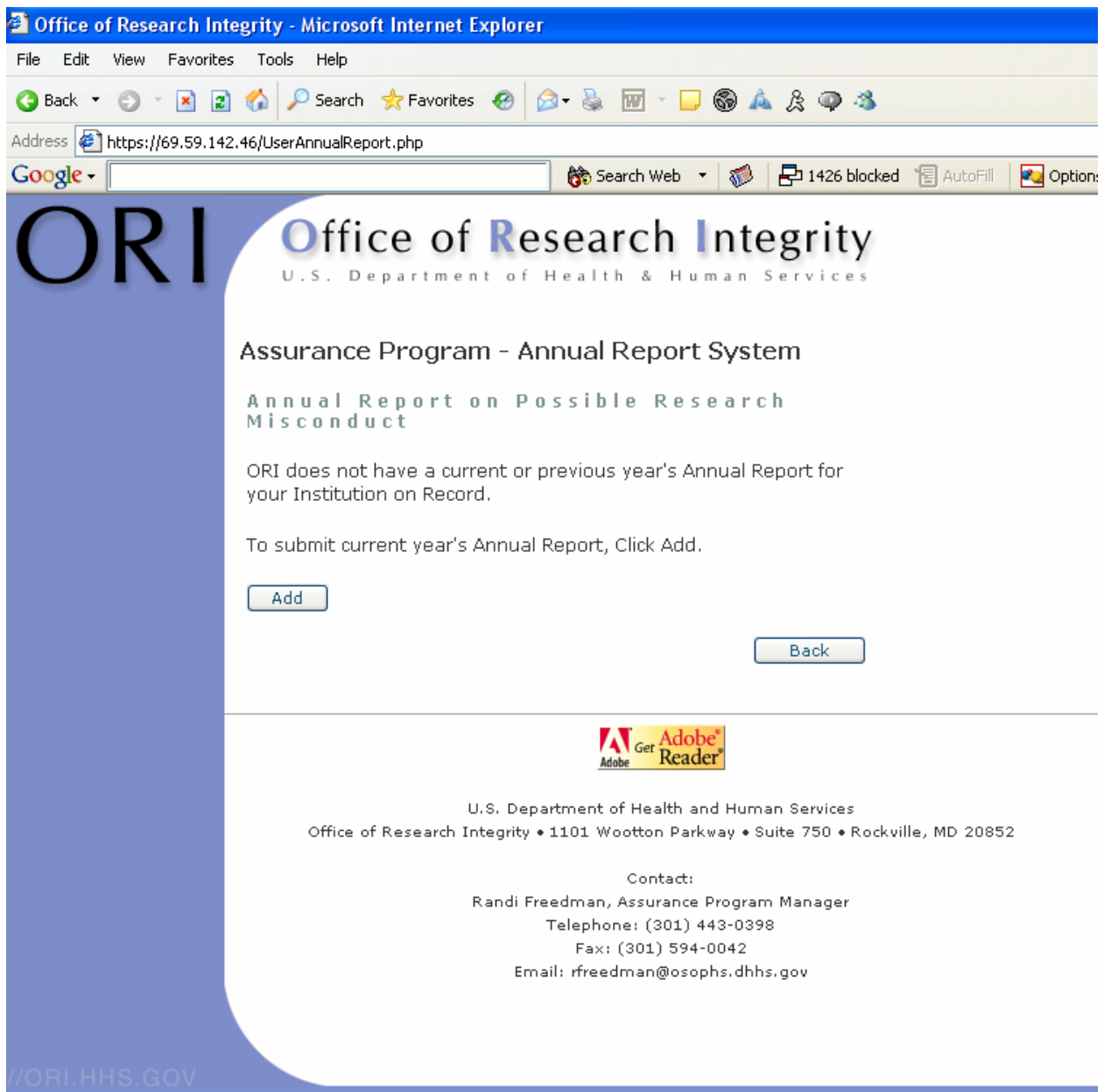


Figure 14

Result: The Confirm Institutional Information screen (Figure 15). This screen allows you to either change or confirm your Institution's information.

Step 3: If you choose to **edit** your Institution's information, select "Edit" and make the changes. Then select "Ok" to save the information and proceed with completing the Annual Report. If **no changes** are necessary, select "Ok."

The screenshot shows a web browser window titled "Office of Research Integrity - Microsoft Internet Explorer provided by Comcast". The address bar displays "https://69.59.142.46/uarInstitutionConfirmation.php". The page features the ORI logo and the text "Office of Research Integrity U.S. Department of Health & Human Services". Below this, the heading "ORI Assurance Program" is followed by "Confirm Institutional Information". A list of fields displays the following information: IPF: 12345678, Institution Name: ORI, Address: 1234 Main Street, City: Rockville, State: MD, Zip: 20852, Country: USA, Official Name: Ms. Official, Official Title: CEO, Official Phone: 555-555-5555, Official Extension: (blank), Official Fax: 555-555-5555, Official Email 1: rfreedman@osophs.dhhs.gob, Official Email 2: (blank), and Last Updated: December 11, 2004 12:10:52 AM. At the bottom, there are three buttons: "OK", "Edit", and "Cancel".

IPF:	12345678
Institution Name:	ORI
Address:	1234 Main Street
City:	Rockville
State:	MD
Zip:	20852
Country:	USA
Official Name:	Ms. Official
Official Title:	CEO
Official Phone:	555-555-5555
Official Extension:	
Official Fax:	555-555-5555
Official Email 1:	rfreedman@osophs.dhhs.gob
Official Email 2:	
Last Updated:	December 11, 2004 12:10:52 AM

Figure 15

Result: Certifying Official's Information screen (Figure 16).

Step 4: Select "Next" to confirm information.

The screenshot shows a web browser window titled "Office of Research Integrity - Microsoft Internet Explorer provided by Comcast". The address bar displays "https://69.59.142.46/uarCertifyingOfficial.php". The page features the ORI logo and the text "Office of Research Integrity U.S. Department of Health & Human Services". The main heading is "ORI Assurance Program" followed by "Certifying Official's Information". Below this, there are input fields for: Official Name (Ms. Official), Official Title (CEO), Official Phone (555-555-5555), Official Extension (empty), Official Fax (555-555-5555), and Official Email (rfreedman@osophs.dhhs.gob). At the bottom of the form are three buttons: "Back", "Next", and "Cancel". The footer contains contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, located at 1101 Wootton Parkway, Suite 750, Rockville, MD 20852. The contact person is Randi Freedman, Assurance Program Manager, with telephone (301) 443-0398 and fax (301) 594-0042.

Office of Research Integrity - Microsoft Internet Explorer provided by Comcast

File Edit View Favorites Tools Help

Back Forward Stop Reload Home Search Favorites Media Print Mail

Address <https://69.59.142.46/uarCertifyingOfficial.php>

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

ORI Assurance Program

Certifying Official's Information

Official Name:

Official Title:

Official Phone:

Official Extension:

Official Fax:

Official Email:

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042

Figure 16

Step 5: Select the appropriate responses (Yes or No) to the questions presented.

NOTE: If you selected “Yes” for the second question “Has your institution received any allegations or conducted any inquiries or investigations of allegations...,” **go to PAGE 22** of this handbook for instructions on how to complete the 2004 Annual Report on Possible Research Misconduct and begin with **Step 6**.

Step 6: Select “Next” to continue completing the Annual Report.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2004 Annual Report on Possible Research Misconduct

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

☐ Yes ☒ No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

☐ Yes ☒ No

Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 17

Result: 2004 Report on Possible Research Misconduct Confirmation screen (Figure 18).

Step 7: Review the information on this screen and select "Approve."

NOTE: Once you select "Approve," you **cannot** go back and make changes to your report. You can only review the report and print a copy for your records.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2004 Report on Possible Research Misconduct Confirmation

Certifying Official
Name: Randi Freedman **Title:** CEO
Phone: 555-555-5555 **Ext:**
Fax: 555-555-5555
Email: rfreedman@osophs.dhhs.gov


Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

[Yes](#)

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

[No](#)

 **Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:

Figure 18

Result: Confirmation screen that your institutions completed 2004 Annual Report on Possible Research Misconduct has been received by ORI.

Step 8: Select either log off the system or return to the Assurance Program Home Page.

NOTE: If you wish to print a copy of your institutions 2004 Annual Report, select "Click here to return to the Assurance Program Home Page." For instructions on how to print out your report, see **PAGE 26** of this handbook

The screenshot shows the ORI (Office of Research Integrity) website. The header features the ORI logo and the text "Office of Research Integrity" and "U.S. Department of Health & Human Services". The main heading is "Assurance Program - Annual Report System". Below this, it states: "Your 2004 Report on Possible Research Misconduct was received by ORI on January 3, 2005." and "You will receive a confirmation by email when the report is verified." There are two links: "+Click here to return to the Assurance Program Home Page." and "+Click here to log out of the Assurance Program." Below a horizontal line, there is an Adobe Reader logo and the text "Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct". Further down, it provides the address: "U.S. Department of Health and Human Services, Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852". Contact information for Randi Freedman, Assurance Program Manager, is listed: Telephone: (301) 443-0398, Fax: (301) 594-0042, and Email: rfreedman@osophs.dhhs.gov. At the bottom left, the URL "ORI.HHS.GOV" is visible.

ORI Office of Research Integrity
U.S. Department of Health & Human Services


Assurance Program - Annual Report System

Your 2004 Report on Possible Research Misconduct was received by ORI on January 3, 2005.

You will receive a confirmation by email when the report is verified.

+Click here to return to the Assurance Program Home Page.

+Click here to log out of the Assurance Program.

 **Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

ORI.HHS.GOV

Figure 19

If you select "Yes" indicating your institution has received allegations or conducted any inquiries or investigations of allegations during the reporting period

Step 6: Select "Next" to proceed to the next screen.

ORI Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2004 Annual Report on Possible Research Misconduct


Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

☐ Yes ☒ No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

☒ Yes ☐ No

 **Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct**

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

Figure 20

Step 7: Select the appropriate boxes and select "Next."

ORI

Office of Research Integrity
U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Allegations

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported to the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do NOT include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2003-1234	<input checked="" type="checkbox"/> Inquiry	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Activity begun in 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	<input checked="" type="checkbox"/> Allegation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/> Inquiry	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
		<input checked="" type="checkbox"/> Investigation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2.		<input type="checkbox"/> Allegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.		<input type="checkbox"/> Allegation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/> Investigation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Back
Next
Cancel

Figure 20

Result: 2004 Annual Report on Possible Research Misconduct confirmation screen (Figure 22).

Step 8: Select "Approve" to proceed to the next screen (if you need to make any changes select "Back").

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

Assurance Program – Annual Report System

2004 Report on Possible Research Misconduct Confirmation

Certifying Official

Name: Randi Freedman Title: CEO

Phone: 555-555-5555 Ext:

Fax: 555-555-5555

Email: rfreedman@osophs.dhhs.gov

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

Yes

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do NOT include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2003-1234	X Inquiry		X		
2.						
3.						

2. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	X Allegation	X	X	X	
		X Inquiry	X	X	X	
		X Investigation	X	X	X	
2.						
3.						

Back

Approve

Cancel

Figure 22

Result: Your Institution's 2004 Annual Report on Possible Research Misconduct has been submitted to ORI.

Step 9: Select "Click here to return to the Assurance Program Home Page" to print a copy of your 2004 Annual Report for your records.

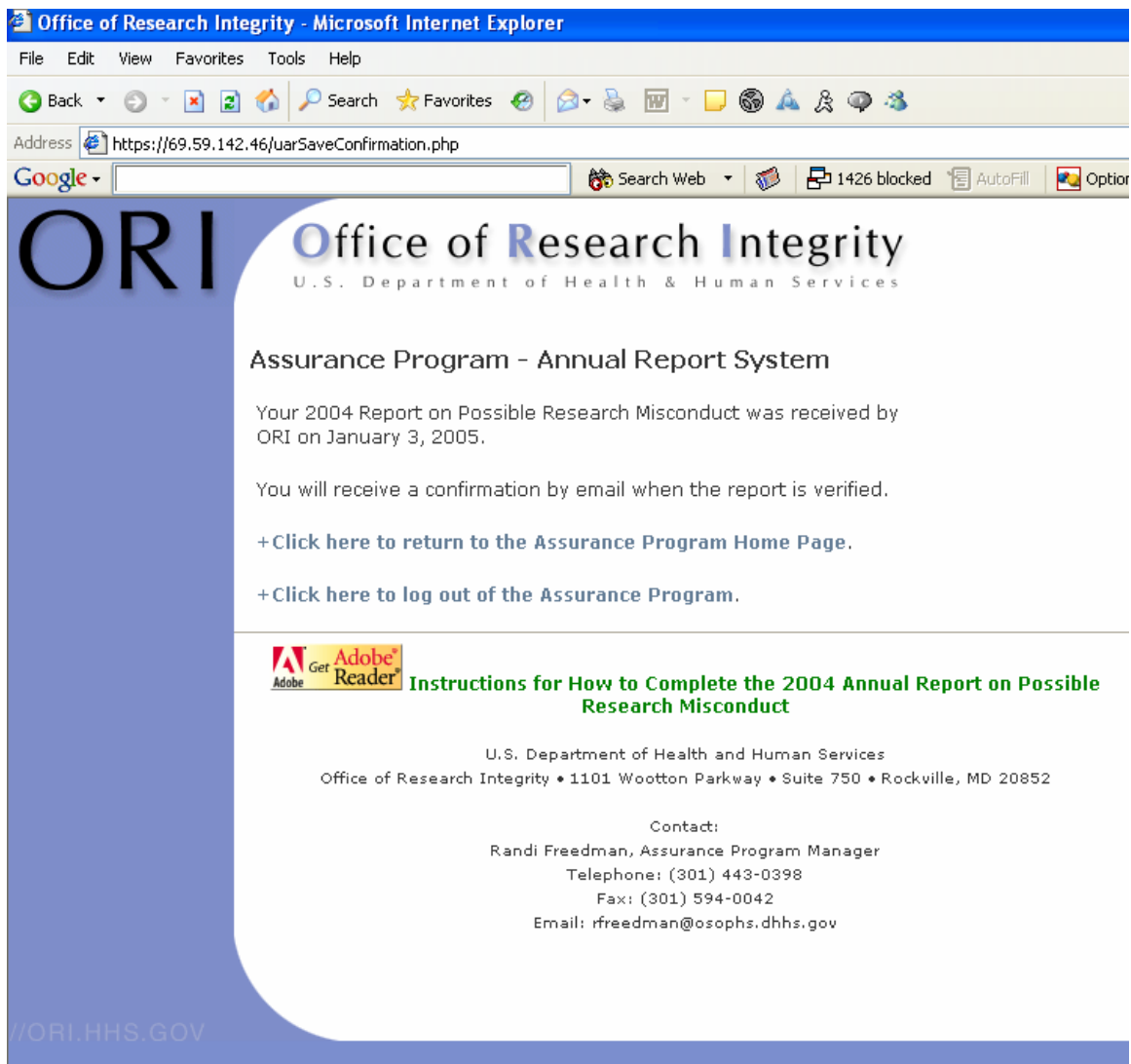


Figure 23

Part 4 ♦ Printing the 2004 Annual Report

Step 1: Select "Review 2004 Annual Report on Possible Misconduct."

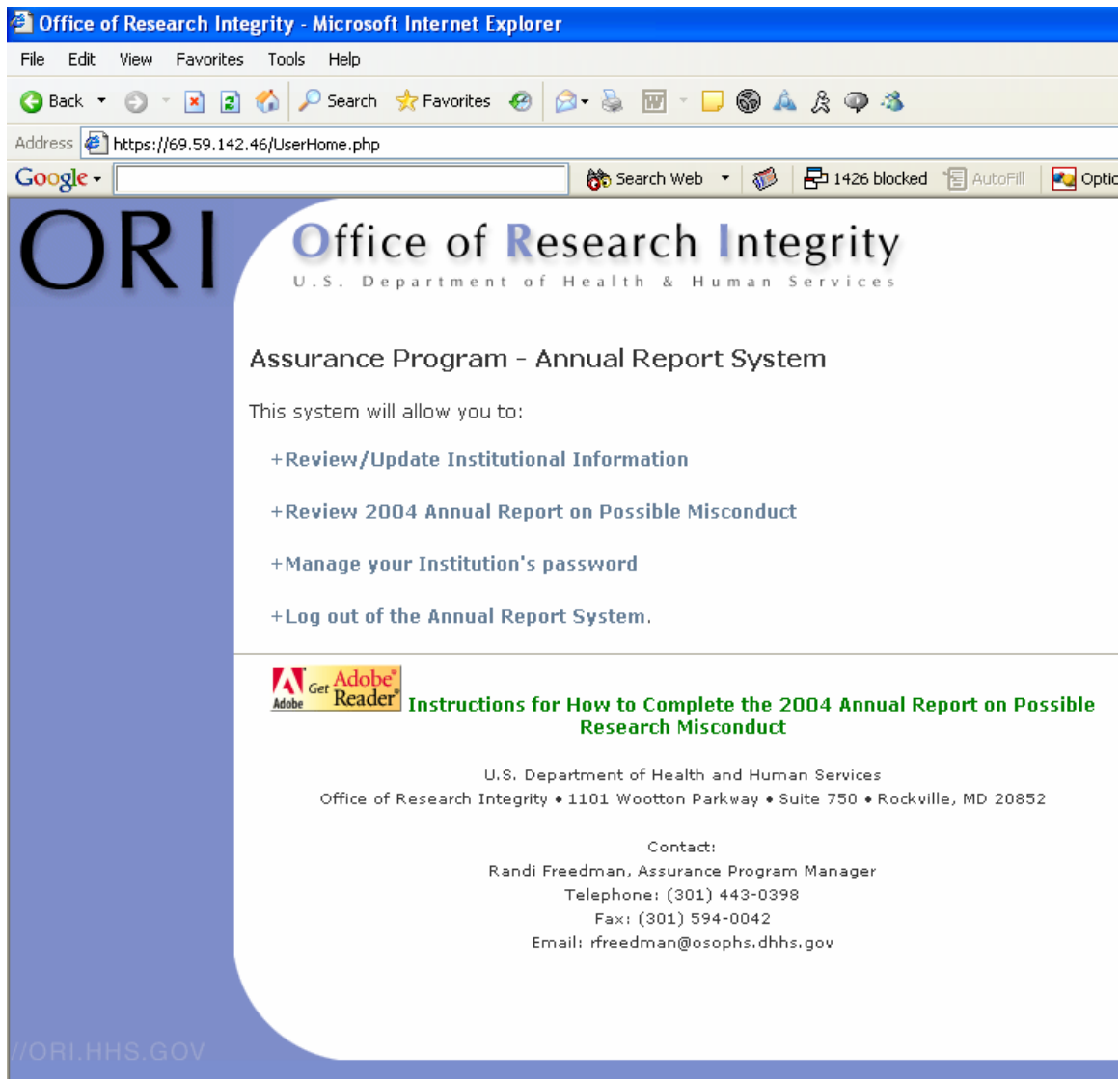


Figure 24

Step 2: Select "2004 Report."

The screenshot shows a Microsoft Internet Explorer browser window with the title "Office of Research Integrity - Microsoft Internet Explorer". The address bar displays "https://69.59.142.46/UserAnnualReport.php". The page features the ORI logo and the text "Office of Research Integrity U.S. Department of Health & Human Services". The main heading is "Assurance Program - Annual Report System". Below this, it says "Annual Report on Possible Research Misconduct". A link "Review Annual Reports: +2004 Report" is visible, along with a "Back" button. An Adobe Reader advertisement is present, with the text "Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct". Contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, is provided, including the address, contact person (Randi Freedman), telephone, fax, and email. The footer shows the URL "ORI.HHS.GOV".

Office of Research Integrity - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Favorites

Address <https://69.59.142.46/UserAnnualReport.php>

Google Search Web 1426 blocked AutoFill Optio

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

Assurance Program - Annual Report System

Annual Report on Possible Research Misconduct

Review Annual Reports:
[+2004 Report](#)

[Back](#)

Instructions for How to Complete the 2004 Annual Report on Possible Research Misconduct

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

ORI.HHS.GOV

Step 3: Select "Print View" to print a copy of your Annual Report. From your browser's window, select "File" then "Print."

ORI

Office of Research Integrity

U.S. Department of Health & Human Services

Assurance Program - Annual Report System

2004 Report on Possible Research Misconduct

Certifying Official

Name: Randi Freedman Title: CEO

Phone: 555-555-5555 Ext:

Fax: 555-555-5555

Email: rfreedman@osophs.dhhs.gov

Each institution which receives or applies for a PHS research, research-training or research-related grant or cooperative agreement must have established an administrative policy for responding to allegations of research misconduct that complies with the PHS regulation (42 CFR Part 50, Subpart A) and certify that it will comply with that policy. This regulation does not cover regulated research under the jurisdiction of the Food and Drug Administration (FDA).

Has your institution established an administrative policy for responding to allegations of research misconduct required by the PHS regulation?

No

Has your institution received any allegations or conducted any inquiries or investigations of allegations during the reporting period that (1) fall under the PHS definition of research misconduct and (2) involve receipt of or requests for PHS funding or application for PHS funding?

Yes

Please provide the requested information for each incident of alleged misconduct that involved a request for or receipt of PHS funds that fell within the PHS definition of research misconduct. Please note that, in accordance with section 50.103(d)(4), all investigations are to be reported to the Office of Research Integrity (ORI) before or immediately upon commencement of the investigation.

PLEASE NOTE: For each incident of alleged research misconduct resulting in an allegation, inquiry, and/or investigation at your institution: (1) provide the ORI case number, if assigned; (2) check the type of activity (allegation, inquiry, and/or investigation - may include more than one activity type for each reported incident); and (3) check the type of misconduct involved with each activity (may include more than one type of misconduct). Attach a separate sheet if additional space or clarification is required.

Do NOT include any alleged fiscal misconduct, human or animal subject abuses, conflicts of interest, or violations of FDA regulated research.

1. Activity continued into 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2003-1234	Inquiry Investigation		X		
2.		Inquiry Investigation				
3.		Inquiry Investigation				

2. Activity begun in 2004:

Incident Number	ORI Case Number, if assigned	Type of Activity	Type of Misconduct			
			Fabrication	Falsification	Plagiarism	Other Serious Deviations
1.	2004-5678	Allegation Inquiry Investigation	X	X	X	
2.		Allegation Inquiry Investigation				
3.		Allegation Inquiry Investigation				

Back

Print View

Figure 26

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Part 5 ➔ What to Do if you Forget the User ID and/or Password.

Step 1: If you have forgotten your User ID and/or password, select the “**Click here to get your User ID and Password**” link (circled in red).

Office of Research Integrity - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Favorites

Address <https://69.59.142.46/Login.php>

Google Search Web 1391 blocked AutoFill Options

ORI Office of Research Integrity
U.S. Department of Health & Human Services

ORI Assurance Program

User ID:
Password:

Login

Forgot your User ID or Password? [Click here to get your User ID and Password](#)

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

//ORI.HHS.GOV

You will be prompted at this screen (Figure 28) to enter in your IPF number, email address and Institution Name.

Step 2: Enter as much information as you can remember.

Step 3: Select “**Get Login.**” (An email will be automatically generated to the user’s email address on file with ORI.)

The screenshot shows a Microsoft Internet Explorer browser window with the title "Office of Research Integrity - Microsoft Internet Explorer". The address bar displays "https://69.59.142.46/ForgotLogin.php". The page features the ORI logo and the text "Office of Research Integrity U.S. Department of Health & Human Services". The main heading is "ORI Assurance Program". Below this, a message states: "If you are a registered user of the ORI Assurance Program, but have forgotten your User ID and/or Password, you can enter any of the following information to have your login information emailed to the registered official email address(s).". There are four input fields: "IPF:" with the value "12345678", "Official Email Address:" (highlighted in yellow), and "Institution Name:" with the value "ORI". Below the fields are two buttons: "Get Login" and "Cancel". At the bottom, contact information for the U.S. Department of Health and Human Services, Office of Research Integrity, is provided, including the address, contact person (Randi Freedman), telephone, fax, and email.

Office of Research Integrity - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Search Favorites 1391 blocked AutoFill Optio

Address <https://69.59.142.46/ForgotLogin.php>

ORI Office of Research Integrity
U.S. Department of Health & Human Services

ORI Assurance Program

If you are a registered user of the ORI Assurance Program, but have forgotten your User ID and/or Password, you can enter any of the following information to have your login information emailed to the registered official email address(s).

IPF:

Official Email Address:

Institution Name:

U.S. Department of Health and Human Services
Office of Research Integrity • 1101 Wootton Parkway • Suite 750 • Rockville, MD 20852

Contact:
Randi Freedman, Assurance Program Manager
Telephone: (301) 443-0398
Fax: (301) 594-0042
Email: rfreedman@osophs.dhhs.gov

//ORI.HHS.GOV

Figure 28

Result: Password notification change screen (Figure 29) indicating an email has been sent to the email address ORI has on file for your institution.

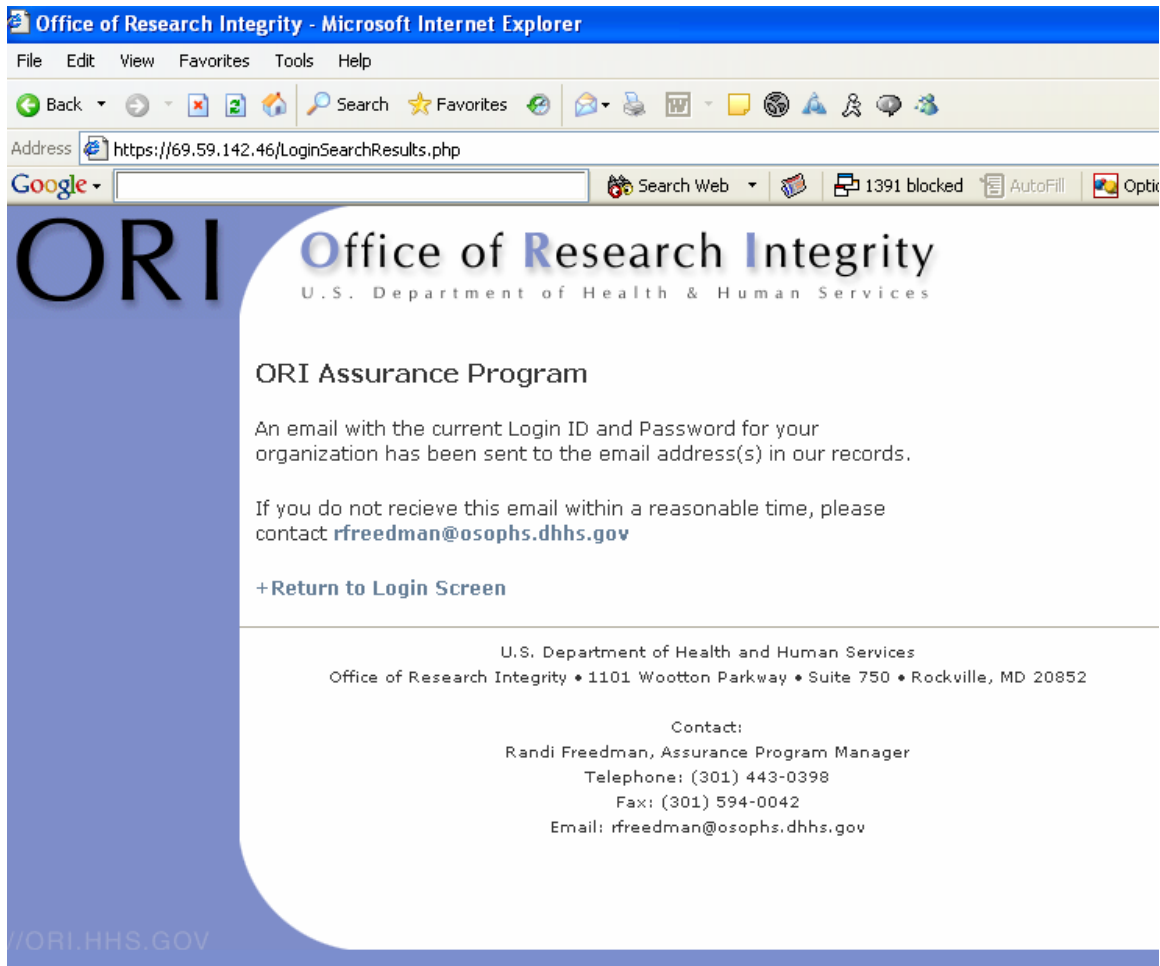


Figure 29

Example of an email that is automatically generated to the user's email address on file with ORI (Figure 30).

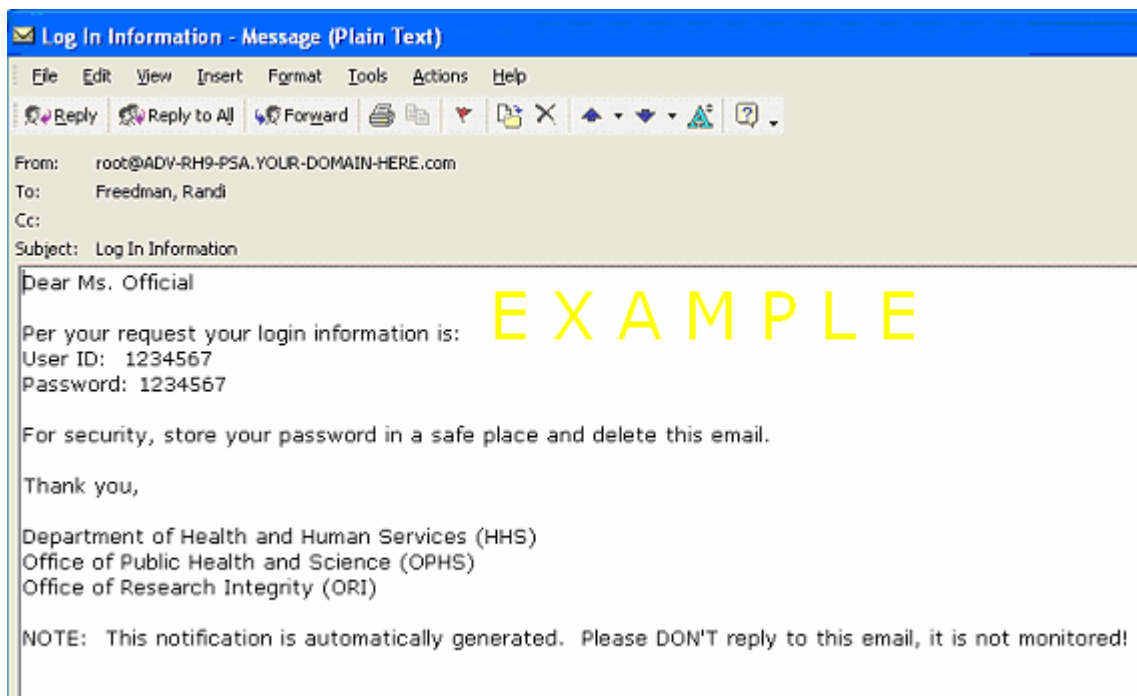


Figure 30

Select either:

- + Click here to go to the ORI website, or
- + Click here to return to Login Screen

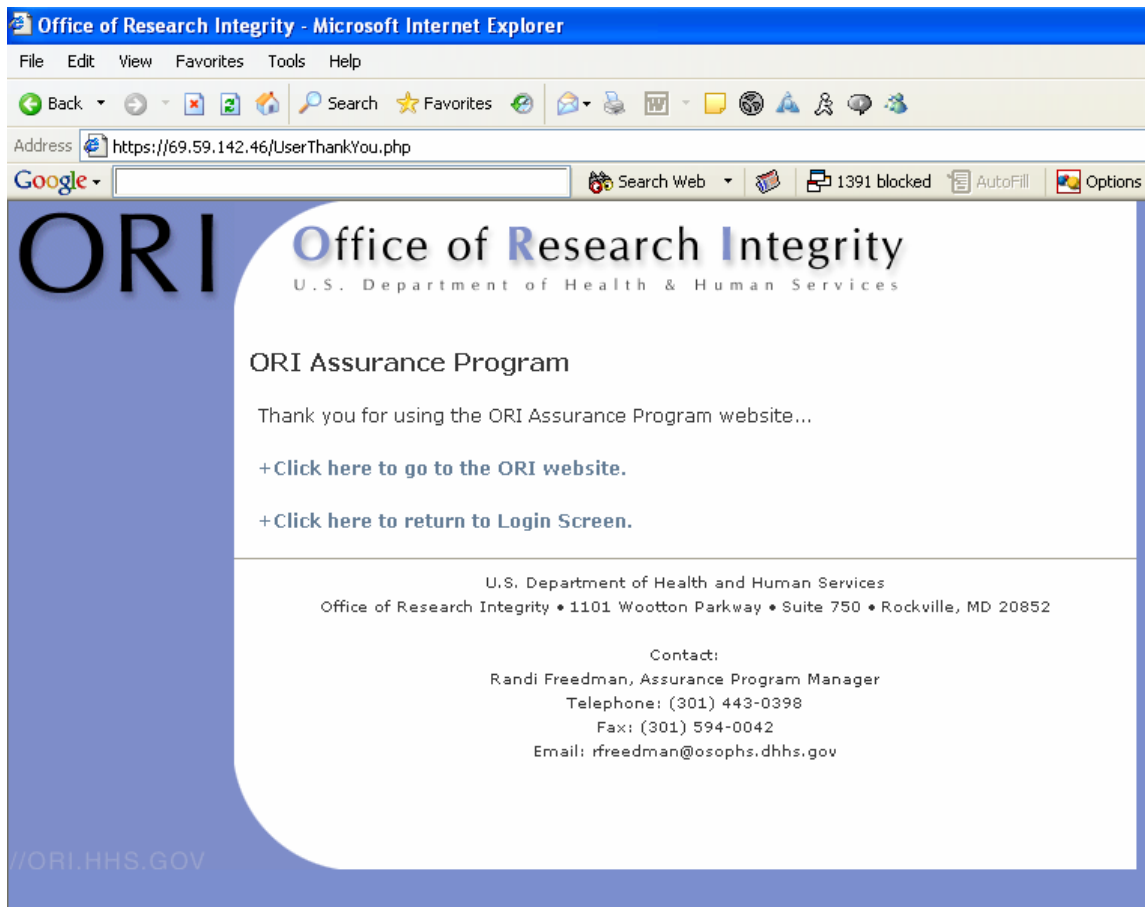


Figure 31